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32361 7590 09/28/2006

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Randi Flamenbaum	(Depositor's name)
<i>Randi Flamenbaum</i>	(Signature)
October 4, 2006	(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/834,171

04/12/2001

Seth I. Merri

94193.010100

2698

TITLE OF INVENTION: ELECTRONIC SECURITIES MARKETPLACE HAVING INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
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nonprovisional

NO

\$1400

\$0

\$0

\$1400

12/28/2006

EXAMINER	ART UNIT	CLASS-SUBCLASS
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KYLE, CHARLES R

3624

705-037000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47, Rev. 03-02 or more recent) attached. Use of a Customer Number is required.

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(A) NAME OF ASSIGNEE

Liquidnet, Inc.

(B) RESIDENCE: (CITY AND STATE OR COUNTRY)

498 Seventh Avenue, 12th Floor

New York, New York 10018, U.S.A.

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

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☒ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number 501561 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.

☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant, a registered attorney or agent, or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature:

*Barry J. Schindler*  
Barry J. Schindler

Date: October 4, 2006

Typed or printed name

Registration No. 32,938

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09/28/2006

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<i>Randi Flamenbaum</i>	(Signature)
October 4, 2006	(Date)

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1. GREENBERG TRAURIG LLP

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3. \_\_\_\_\_

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4a. The following fee(s) are submitted:

- ☒ Issue Fee  
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- ☐ A check is enclosed.  
☐ Payment by credit card. Form PTO-2038 is attached.  
☒ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number 501561 (enclose an extra copy of this form).

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Authorized Signature: *Barry J. Schindler*  
Typed or printed name: Barry J. Schindler

Date: October 4, 2006

Registration No. 32,938

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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<b>Applicant(s):</b> Seth I. Merrin, John Halloran, Demian Kosofsky, Kevin Lupowitz .	<b>: Group Art Unit:</b> 3624
<b>Serial No.:</b> 09/834,171	<b>: Examiner:</b> Charles R. Kyle
<b>Filed:</b> April 12, 2001	<b>: Attorney Docket No.:</b> 94193.010100
<b>For:</b> <b>ELECTRONIC SECURITIES</b> <b>MARKETPLACE HAVING</b> <b>INTEGRATION WITH ORDER</b> <b>MANAGEMENT SYSTEMS</b>	<b>:</b> <b>:</b>

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**RESPONSE TO NOTICE FOR NEW FIGURES WITH NOTICE OF**  
**ALLOWANCE OF 9/28/2006**

Mail Stop Issue Fees  
Commissioner for Patents  
Box 1450  
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Dear Sir:

Further to a telephone conversation between Mr. Tang, reviewing drafts person on current case, and Ms. Randi Flamenbaum, my paralegal of this day, it was confirmed by Mr. Tang that the figures that were supplied to the Patent Office on May 21, 2004 are acceptable to draft person Mr. Tang. A further copy of these figures, 8 sheets for 9 figures are attached for your ready reference.

As I understand, the Notice of Draft Person's Patent Drawing Review dated September 8, 2006 was precipitated by figures that were part of an amendment, filed on July 12, 2006, in response to a January 12, 2006 office action as well as notice to record the substance of a June 26, 2006 interview with Examiner Charles Kyle and others. During the interview, as noted on page 6, paragraph 5 of the July 12, 2006 amendment, these figures were discussed to illustrate the prior art and the claimed invention. As a result of the requirement to make the substantive matters discussed during this interview of June 26, 2006 to become part of the record of this current case, copies of these figures were provided with the amendment as filed on July 12, 2006.

Please note that the figures attached to the end of the amendment filed July 12, 2006 were part of the information that was discussed during the interview of June 26, 2006. These figures were not filed with the originally filed application.

We also respectfully request that in view of the granted petition to make special that this case be "red tagged" to expedite the issuance of the patent for this current U.S. Serial Number 09/834,171.

Respectfully submitted,  
**GREENBERG TRAURIG, LLP.**

By: 

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Barry J. Schindler

Dated: October 4, 2006

CORRESPONDENCE:

Barry J. Schindler, Esq.  
**GREENBERG TRAURIG LLP**  
Met Life Building  
200 Park Avenue, 34th Floor  
New York, New York 10166  
Phone: 212-801-2244  
Fax: 212-801-6400



1/8

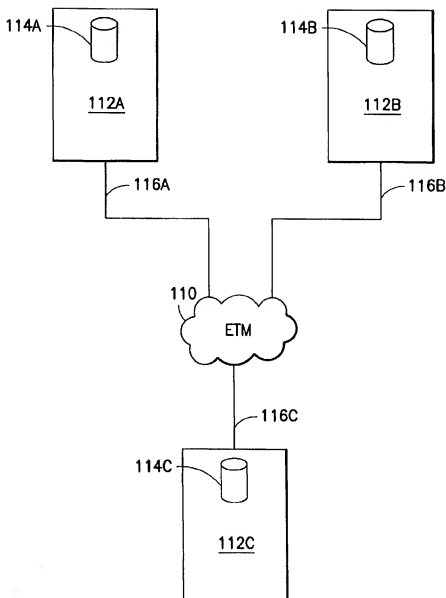


FIG.1

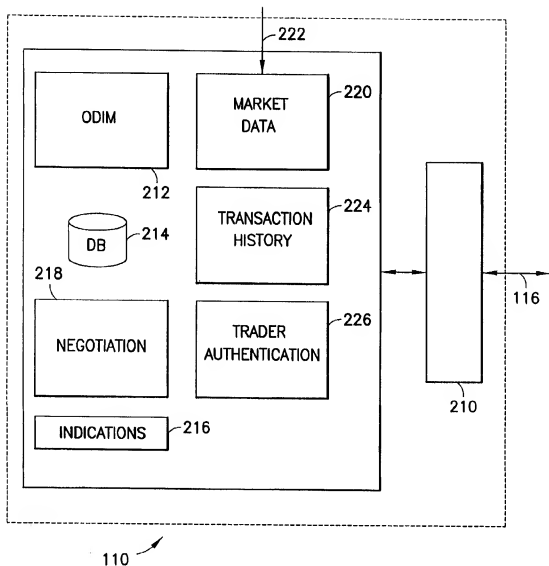


FIG.2

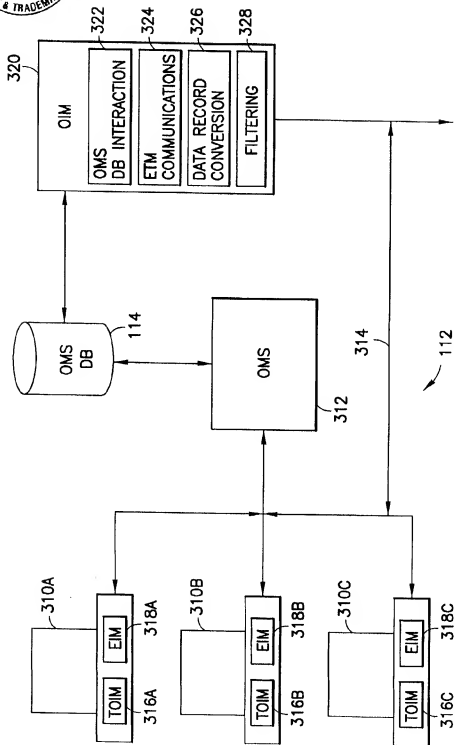


FIG.3



4/8

410	ORDER ID	412	TRADER ID	414	ORDER STATUS	416	ORDER LAST UPDATE TIME	418	TRANSACTION TYPE	420	SECURITY SYMBOL	422	SECURITY TYPE	424	ORDER TYPE	426	LIMIT PRICE	428	TOTAL ORDER SIZE	430	QUANTITY PLACED ELSEWHERE
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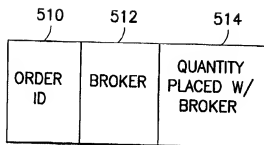
400

FIG.4



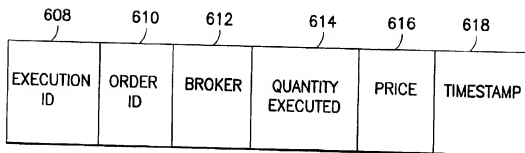


5/8



500

FIG. 5



600

FIG. 6



6/8

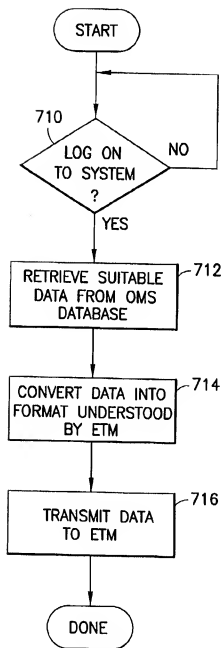


FIG. 7



7/8

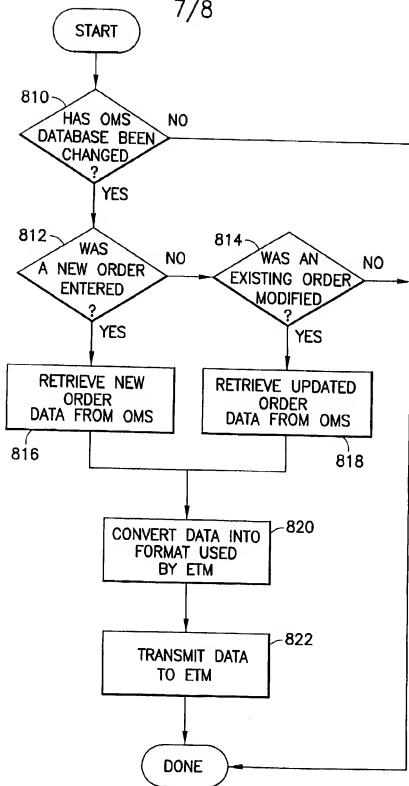


FIG.8

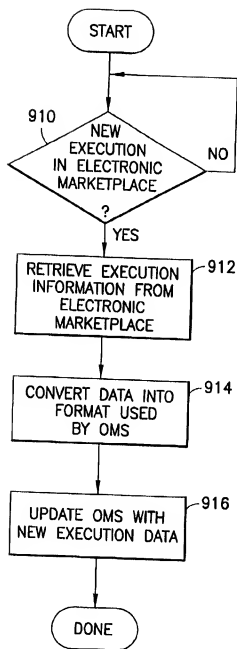


FIG.9